SERIES: 2200   **Information Management and Information Technology Operations**

2200-SGDB   **Self-Governance Management Database (SGDB).** The SGDB is a financial management system for tribal compact funding data for federal and tribal users. SGDB enables the Office of Self-Governance to achieve budget execution, accounting, federal and customer reporting, and contracting duties. SGDB manages and maintains tribal compact financial data providing users with the ability to report on the status of funds negotiated under the Annual Funding Agreements (AFA). It also generates funds awards (Authority to Obligate), which are the source documents used for obligation input into the BIA accounting system, the Federal Financial System.

A. Source Records/Inputs

1. Source Records (Paper): The inputs to the system include: Contact name and address, email address and phone numbers; Area, Agency, and State IDs, organization and project data; codes and names; project information; company name and address, tax percentage and shipping information; compact funding information; program data; obligation amounts; base changes and adjustments and ATO and AFA data.

Disposition Instructions: Apply disposition instructions approved for paper and microfilm records. (Reference Indian Affairs Record Schedule record series for specific program records)

2. Source Records (Electronic): Electronic files or records used to create or update a master file, including, but not limited to, work files, valid transaction files, and intermediate input/output records. **(GRS-20/1b)**

Disposition Instructions: TEMPORARY. Delete after information has been transferred to the master file and verified.   Subject to Multiple Record Freezes and/or Litigation holds.

B. Master Data File

The master data files contain information including contact data; company data; funding data; class data; compact data; account data; cost code and allocation data; obligation data; ATO and AFA data; user organization data; and project data. Data maintained within the system includes data from 1997 to present.

Disposition Instructions: PERMANENT. Create duplicate copy of records off-line and physically transfer to the National Archives upon approval of this schedule in accordance with NARA instructions and guidance. Subsequent legal transfer of the records will be as jointly agreed to between DOI and NARA, in accordance with regulations currently cited in 36 CFR 1228.270. **(N1-075-09-05)**

SERIES: 2200   Information Management and Information Technology Operations

C. System Generated Documents/Outputs

1. System Generated Documents in Case Files: Case files specific queries, sorts, reports, tables, and related records and data compilation reports (e.g., management reports and plans) that are created for case files, studies, inquiries, inspections, and related program files.

Disposition Instructions: Apply disposition instructions approved for paper and microfilm records. (Reference Indian Affairs Record Schedule record series for specific program records)

2. System Generated Documents organized by Program, Regional, Agency, or Field Offices: Data compilation reports (e.g. management reports and plans) that are not case file specific and generated bi-weekly, monthly, quarterly, and annually. These reports cannot be easily separated and filed in case specific files. **(N1-075-09-05)**

Disposition Instructions: PERMANENT. Printed Report Files. File by System Report Name, Program, Region, Agency, or Field Office, Job Run Date and Fiscal Year. Cut off at the end of fiscal year. Maintain in office of record for a maximum of 2 years after cut off or when no longer needed for current business operations; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between United States Department of Interior and the National Archives and Records Administration.

3. Data Verification Reports or Screen Prints, Data Verification – Non case/subject file specific screen prints, test reports, data validation reports and system diagnostics.

   a. Electronic files or records created solely to test systems performance, as well as hard-copy printouts and related documentation for the electronic files/records. **(GRS-20/1a)**

Disposition Instructions: TEMPORARY. Delete/Destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

   b. Electronic files or records used to create or update a master file, including, but not limited to, work files, valid transaction files, and intermediate input/output records**. (GRS-20/1b)**

Disposition Instructions: TEMPORARY. Delete after information has been transferred to the master file and verified.

   c. Electronic files and hard-copy printouts created to monitor system usage, including, but not limited to, log-in files, password files, audit trail files, system usage files, and cost-back files used to assess charges for system use. **(GRS-20/1c)**

Disposition Instructions: TEMPORARY.   Delete/Destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

d. Records create and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes, but is not limited to: Data and detailed reports on implementation of systems, applications, and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management. **(GRS-24/3b1)**

Disposition Instructions: TEMPORARY. Destroy/delete 1 year after termination of system.

D. Documentation

1. Data Systems specifications, file specifications, code books, record layouts, user guides, output specifications, and final reports, regardless of medium, relating to a master file or data base. **(N1-075-09-05)**

Disposition Instructions: TEMPORARY. Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or data base, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest.

2. Copies of Records relating to system security, including records documenting periodic audits or reviews and re-certification of sensitive applications, disaster and continuity plans, and risk analysis, as described in OMB Circular No. A-130. **(GRS-20/11b)**

Disposition Instructions: TEMPORARY. Destroy or delete when superseded or obsolete.

E. Backups/Vital Record Backups. Backups are intended for making a copy of computer files for use if the original is lost, damaged or destroyed. The Backup process includes copying recorded information from internal storage to an external storage medium, such as magnetic tape, cartridges, CDs, and Optical disk. The Disposition of Backups is Temporary because they are intended to restore a system in case of failure. Backups do not meet NARA requirements for long term retention or preservation of permanent data. **(GRS-20/8a)**

Disposition Instructions: TEMPORARY. File identical to records scheduled for transfer to the National Archives: Delete when the identical records have been captured in a subsequent backup file or when the identical records have been transferred to the National Archives and successfully copied.